

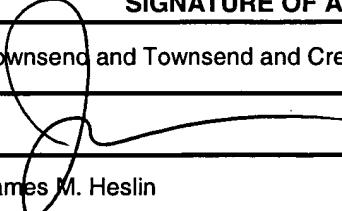
1 FW 3763  
P

<b>O I P TRANSMITTAL FORM</b> <b>FEB 07 2005</b> <small>(to be used for correspondence after initial filing)</small> <small>PATENT &amp; TRADEMARK OFFICE U.S. DEPARTMENT OF COMMERCE</small>		Application Number	09/872,068
		Filing Date	May 31, 2001
		First Named Inventor	Brian K. Courtney et al.
		Art Unit	3763
		Examiner Name	Hayes, Michael J.
Serial Number, Total Number of Pages in This Submission	025738-000310US		

**ENCLOSURES (Check all that apply)**

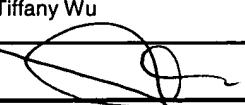
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC		
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences		
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)		
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information		
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter		
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard		
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> PTO Form SB/08A and SB/08B		
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	<input type="checkbox"/> Copies of 3 cited references		
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____			
<input type="checkbox"/> Reply to Missing Parts/ Incomplete Application	<input type="checkbox"/> Landscape Table on CD			
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53				
<table border="1"> <tr> <td>Remarks</td> <td>The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.</td> </tr> </table>			Remarks	The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.
Remarks	The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.			

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name	Townsend and Townsend and Crew LLP		
Signature			
Printed name	James M. Heslin		
Date	2-1-2005	Reg. No.	29,541

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Signature	Tiffany Wu		
Typed or printed name		Date	2/2/05

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

**PATENT**  
Attorney Docket No.: 025738-000310US

Commissioner for Patents

P.O. Box 1450

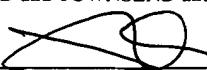
Alexandria, VA 22313-1450

On

2/2/05

TOWNSEND and TOWNSEND and CREW LLP

By:

  
Tiffany Wu



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Brian K. Courtney et al.

Application No.: 09/872,068

Filed: May 31, 2001

For: EMBOLIZATION PROTECTION  
SYSTEM FOR VASCULAR  
PROCEDURES

Examiner: Hayes, Michael J.

Art Unit: 3763

**SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT UNDER 37  
CFR §1.97 and §1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. Copies of the Non-U.S. Patent references are enclosed.

It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no

Application No.:  
Page 2

representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

This IDS is being filed before the mailing date of the final Office Action or Notice of Allowance.

Please charge the IDS fee of \$180 to Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

James M. Heslin  
Reg. No. 29,541

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, Eighth Floor  
San Francisco, California 94111-3834  
Tel: 650-326-2400  
Fax: 650-326-2422  
JMH:rlj

60410688 v1

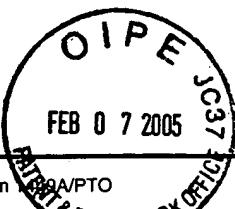


Substitute for form 149A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		<i>Complete if Known</i>	
		Application Number	09/872,068
		Filing Date	05/31/2001
		First Named Inventor	Courtney
		Art Unit	3763
Examiner Name	Hayes, Michael		
Sheet	1	of	2
		Attorney Docket Number	025738-000310US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No.	Document Number Number Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	1	4,457,747	07-03-1984	Tu	
	2	4,832,028	05-23-1989	Patel	
	3	4,902,276	02-20-1990	Zakko	
	4	4,909,783	03-20-1990	Morrison	
	5	5,000,743	03-19-1991	Patel	
	6	5,092,839	03-03-1992	Kipperman	
	7	5,179,961	01-19-1993	Littleford et al.	
	8	5,188,592	02-23-1993	Hakki et al.	
	9	5,318,518	06-07-1994	Plechinger et al.	
	10	5,549,626	08-27-1996	Miller et al.	
	11	5,573,504	11-12-1996	Dorsey, III	
	12	5,833,644	11-10-1998	Zadno-Azizi et al.	
	13	5,893,867	04-13-1999	Bagaoisan et al.	
	14	5,971,990	10-26-1999	Venturelli	
	15	5,997,562	12-07-1999	Zadno-Azizi et al.	
	16	6,007,545	12-28-1999	Venturelli	
	17	6,050,972	04-18-2000	Zadno-Azizi et al.	
	18	6,068,623	05-30-2000	Zadno-Azizi et al.	
	19	6,135,991	10-24-2000	Muni et al.	
	20	6,152,909	11-28-2000	Bagaoisan et al.	
	21	6,156,054	12-05-2000	Zadno-Azizi et al.	
	22	6,159,195	12-12-2000	Ha et al.	
	23	6,190,332	02-20-2001	Muni et al.	
	24	6,217,567	04-17-2001	Zadno-Azizi et al.	
	25	6,228,072	05-08-2001	Omaleki et al.	
	26	6,234,996	05-22-2001	Bagaoisan et al.	
	27	6,235,042	05-22-2001	Katzmann	
	28	6,254,563	07-03-2001	Macoviak et al.	
	29	6,258,061	07-10-2001	Drasler et al.	
	30	6,270,477	08-07-2001	Bagaoisan et al.	
	31	6,273,878	08-14-2001	Muni	
	32	6,295,989	10-02-2001	Connors, III	
	33	6,312,407	11-06-2001	Zadno-Azizi et al.	
	34	6,319,229	11-20-2001	Kim et al.	
	35	6,325,777	12-04-2001	Zadno-Azizi et al.	
	36	6,325,778	12-04-2001	Zadno-Azizi et al.	
	37	6,338,709	01-15-2002	Geogrion et al.	

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.



Substitute for form 1409A/PTO		<i>Complete If Known</i>						
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>						Application Number	09/872,068	
						Filing Date	05/31/2001	
						First Named Inventor	Courtney	
						Art Unit	3763	
		Examiner Name	Hayes, Michael					
Sheet	2	of	2	Attorney Docket Number	025738-000310US			

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	38	6,355,014	03-12-2002	Zadno-Azizi et al.	
	39	6,335,016	03-12-2002	Bagaoisan et al.	
	40	6,375,628	04-23-2002	Zadno-Azizi et al.	
	41	6,375,629	04-23-2002	Muni et al.	
	42	6,436,077	08-20-2002	Davey et al.	
	43	6,471,683	10-29-2002	Drasler et al.	
	44	6,485,500	11-26-2002	Kokish et al.	
	45	2002/0016564	02-07-2002	Courtney et al.	
	46	2002/0156430	10-24-2002	Haarala et al.	
	47	2002/0165574	11-07-2002	Ressemann et al.	
	48	2002/0165598	11-07-2002	Wahar et al.	

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document		
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			
	49	WO	03/007797	A2	01-30-2003	Kerberos Proximal Solutions	<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>

Examiner Signature	Date Considered
--------------------	-----------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST-3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST-16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

FEB 07 2005

PTO/SB/08B (08-03)

Substitute for form 1449B/1449C  
**INFORMATION DISCLOSURE  
 STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

3

of

3

**Complete if Known**

Application Number	09/872,068
Filing Date	05/31/2001
First Named Inventor	Courtney
Art Unit	3763
Examiner Name	Hayes, Michael

Attorney Docket Number 025738-000310US

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	50	Ohki et al., " Efficacy of a Proximal Occlusion Catheter with Reversal of Flow in the Prevention of Embolic Events During Carotid Artery Stenting: An Experimental Analysis", Journal of Vascular Surgery (March 2001) vol 33, no. 3, p. 504-509	
	51	Advanced Imaging Catheter [online], "Imaging Catheter Gives Surgeons the Inside Picture", [retrieved on 2002-07-15]. Retrieved from the Internet: <a href="http://www.llnl.gov/str/daSilva.html">http://www.llnl.gov/str/daSilva.html</a> , 5 pages total.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

<sup>1</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>2</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.